

# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/707,669	12/31/2003	David Craig McGlamery	014033-000019	1668
24239	7590	03/23/2006	EXAMINER	
MOORE & VAN ALLEN PLLC P.O. BOX 13706 Research Triangle Park, NC 27709			KOYAMA, KUMIKO C	
			ART UNIT	PAPER NUMBER
			2876	
DATE MAILED: 03/23/2006				

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Application No. 10/707,669	Applicant(s) MCGLAMERY ET AL.	
	Examiner Kumiko C. Koyama	Art Unit 2876	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 02 December 2005.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1,2,4,9,10,12,17,18,20 and 25-27 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1,2,4,9,10,12,17,18,20 and 25-27 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 22 December 2005 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)             | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)    | Paper No(s)/Mail Date. _____  |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date _____   | 6) <input type="checkbox"/> Other: _____                                    |

## DETAILED ACTION

Amendment received on December 02, 2005 has been acknowledged.

### *Claim Rejections - 35 USC § 102*

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claims 1, 2, 4, 9, 10, 12, 17, 18, 20 and 25-27 are rejected under 35 U.S.C. 102(b) as being anticipated by Brooks et al (US 5,754,673).

Re claims 1, 9, 17 and 25: Brooks discloses a document image processing system including a first document path for the automated processing of documents and a second document path for the processing of documents requiring operator correction (col 1, lines 1-9). The system includes a stacker or hopper 20, a character recognition imaging unit 58, magnetic ink character recognition (MICR) and optical character recognition (OCR) readers 32 and 34, a dual track module 96, an encoder 102, and sorting pockets 104, 106 (col 3, lines 15-22). Documents, such as checks (col 3, lines 21-26), are fed into the automatic hopper 20 and thereafter proceed to the character recognition imaging unit (REC) 58 which images the front face of the document, which teaches means for receiving images of the MICR encoded documents (col 3, lines 26-29). Brooks also teaches that if either the courtesy amount or MICR data is not completely recognized by REC 58 or the MICR/OCR module, the document is

Art Unit: 2876

directed into a second path (col 4, lines 1-4). Such disclosure teaches forwarding the document when the stored data field does not include routing information. Brooks also teaches the MICR/OCR reader for reading optical characters on the document as the document is moved (col 6, lines 4-7) and Brooks also teaches that if either the courtesy amount or MICR data is not completely recognized by the OCR module, the document is directed into a second path (col 4, lines 1-4). Such disclosure shows a case where the OCR module does not completely recognize the check, and therefore, OCR performed a process on a stored data field that contains an error. When the document is directed into a second path, an action window 100 within the second path, which presents the document to an operator for correction via conventional data entry procedures. An image of the document is displayed to a local operator via a local video monitor (col 4, lines 6-9). Brooks further teaches an associated number developed to indicate the confidence level. The number 1 indicates a low probability of correctness, and a low probability of correctness of reading, or individual numbers of the monetary amount not being read at all would be tagged to indicate the need for data completion (col 5, lines 50-67). Such disclosure teaches that the correction is applied subject to a minimum confidence level. Brooks discloses a controller 42, which is a microprocessor, for performing the routine tasks associated with moving the documents along the track, and the controller 42 is coupled via an interface 46 to a system processor 44, which coordinates the operation of the item processing system (col 4, lines 45-53). Therefore, Brooks teaches a computer program product having instructions for performing the above operations.

Re claims 2, 4, 10, 12, 18, 20, 26 and 27: Brooks further teaches searching for a specific area, an area containing the courtesy amount to be recognized on the document (col 3, lines 30-

Art Unit: 2876

33). Brooks also teaches that the MICR/OCR reads character lines on the document that contains the identification of the associated bank number (transit routing number), customer's account number, check number, and other coding numbers which provide information as to the type of document, i.e., whether it is a check, deposit slip etc., the size of the document, where the courtesy or monetary amount is located etc (col 6, lines 1-15).

### *Response to Arguments*

3. Applicant's arguments with respect to claims 1, 2, 4, 9, 10, 12, 17, 18, 20 and 25-27 have been considered but are moot in view of the new ground(s) of rejection.

Applicant amended the independent claims with new limitations, such as "determining if the stored data field including routing information" and "minimum confidence level" etc. Such new limitation necessitated new search and consideration. Therefore, this action is Final necessitated by amendment.

### *Conclusion*

4. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period

Art Unit: 2876


will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Kumiko C. Koyama whose telephone number is 571-272-2394. The examiner can normally be reached on Monday-Friday 8am-4:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Michael G. Lee can be reached on 571-272-2398. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

  
Kumiko C. Koyama  
March 15, 2005

  
**STEVEN S. PAK**  
**PRIMARY EXAMINER**